

*The Committee to Approve Schedules for the
Retention and Disposition of Official State Records
The “State Records Committee”
Minutes for May 12, 2021*

1: Call to Order, Welcome, Roll Call

The meeting was called to order at 1:17 pm. The meeting was held through teleconference per Governor Sisolak’s issued Declaration of Emergency Directive 006 regarding open meetings during the COVID-19 pandemic.

Committee Members:

Kimberley Perondi, for Barbara K. Cegavske, Secretary of State – Present

Jerry Lindsay, Governors Appointee – Present

Ian Carr, for Aaron Ford, Nevada Attorney General – Present

JoVon Sotak, Interim Division Administrator, Nevada State Library, Archives and Public Records – Present

Maureen Martinez, for Laura Freed, Director for the Department of Administration – Present

Alisanne Maffei, for Tim Galluzi, Administrator, Enterprise Information Technology Services – Absent

Staff:

Sara Martel, State Records Manager, Nevada State Library, Archives and Public Records – Present

Heather Hahn, Senior Records Analyst, Nevada State Library, Archives and Public Records – Present

Guests Present:

None

2: Public Comment

Comment may be limited to 5 minutes at the discretion of the Chair.

There was no public comment made or received by staff prior to the meeting.

3: Attachment A. Review and Approve the Minutes for March 10, 2021

Discussion and Vote:
The minutes were approved as presented. The motion was made by JoVon Sotak and the second was by Maureen Martinez. Ian Carr abstained as he was not present at the March meeting (Ian

Carr attended today's meeting in substitution for Harry Ward). The vote was unanimous for the remaining members present.

4: Attachment B. Proposed New RDAs for Agency Specific Records Retention Schedules

Discussion and Vote:

As there were no action items, there was no discussion or vote.

5: Attachment C. Proposed Modification RDAs for Agency Specific Records Retention Schedules

1. Medical Examiner's Board

A. Title: Continuing Education (CE)/Training Files

RDA: 2006114

Description:

~~This~~ *These* records ~~series~~ documents the *Continuing Education (CE)* and/or training that may be required for *the* renewal of a professional license/certificate. The *records file* may include, but are not limited to: educational transcripts; attendance rolls; course/workshop documentation; CE credit slips; CE/*T*training forms, ~~and; related documentation.~~ *associated documentation, and related correspondence.*

Authorized Retention:

Retain *continuing education (CE)* documentation until after a notat*ion* has been made on the renewal application form and then dispose of them.

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by the Records Officer and the Deputy Executive Director of the Medical Examiner's Board.

NSLAPR staff recommendation:

The retention period meets administrative values.

Justification for Modification of RDA 2006114:

Staff recommends the changes to the description and authorized retention to bring the records series in line with current schedule verbiage parameters to ensure a more concise and accurate retention.

Discussion and Vote:

Chair Perondi asked Heather to clarify the modifications and clarify that the law the legal requirement is to verify the training requirements were met. The motion was made by Maureen Martinez and the second was by Jerry Lindsay. The vote was unanimous with members present. After the discussion regarding Attachment E, the Committee discussed changing the title of this RDA from "File" to "Records" to make the title inline with NRS and records management best practices. The proposal in Attachment C was approved as amended with the modification to the

title changing “Files” to “Records”. The motion was made by JoVon Sotak and the second was by Maureen Martinez. The vote was unanimous with members present.

6: Attachment D. Proposed Deletion RDAs for Agency Specific Records Retention Schedules

Discussion and Vote:

As there were no action items, there was no discussion or vote.

7: Attachment E. Proposed New, Modification, and Deletion of RDAs for General Records Retention Schedule

1. Update from the February 10, 2021 Meeting

The following RDAs were tabled from the February 10, 2021 meeting to allow the Grants Office and opportunity to provide feedback to records staff. Grants Office staff provided feedback and approval of the updated RDAs as presented below.

A. Title: Grants: Applications Not Funded - Granting Agency Records

RDA: 2005124

Description:

These records document **grant** applications ~~for a grant~~ that was denied and not funded when the state agency receiving the application is the granting (or sub-granting) agency. The **records files** may **include** ~~consist of~~ but are not limited to: **a**Application materials **s with supportive documentation**; **g**Grant narrative**s**; **t**ransmittal letters; **s**taff reports; **d**enial letters, appeal documentation; **associated documentation, and r**elated correspondence.

Authorized Retention:

Retain ~~these records~~ for ~~a period of~~ three (3) calendar years from the date the application was denied or final action was taken (such as an appeal), whichever is later.

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Grants Office Records Officer.

Justification for Modification of RDA 2005124:

Staff recommends the changes to the description and authorized retention to bring the records series in line with current schedule verbiage parameters to ensure a more concise and accurate retention.

B. Title: Grants: Federal Grant - Real Property & Equipment Records

RDA: 2005127

Description:

These records ~~are used to~~ document real property and equipment purchased with funds from federal grants subject to the **Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)** ~~"Common Rule for Grants Management."~~

~~Some federal granting agencies make exceptions to this "Common Rule," please see <http://www.whitehouse.gov/omb/grants/chart.html>.~~ The **records files** may include, but are not limited to: ~~Copy of~~ grant application documents **with supportive documentation**; ~~r~~Real property documentation including maps, plots, **and** title records, ~~etc.~~; ~~e~~Equipment records including purchase documentation, user manuals, **and** property ID documentation, ~~etc.~~; ~~f~~Fax documentation including assessment records, IRS tax documents, **and** state and local government tax documentation, ~~etc.~~; ~~d~~Disposition records including sales, transfers, or discarding records; **associated documentation, and** ~~r~~Related correspondence.

Authorized Retention:

Retain ~~these records~~ for ~~a period of~~ three (3) federal fiscal years from the date of the disposition, replacement or transfer of the property or equipment. When the federal granting agency requires a longer retention period, report this to the Records Management Program and these exceptions shall be placed onto the "agency specific records retention and disposition schedule" for **said your** agency.

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Grants Office Records Officer.

Justification for Modification of RDA 2005127:

Staff recommends the changes to the description and authorized retention to bring the records series in line with current schedule verbiage parameters to ensure a more concise and accurate retention.

C. Title: Grants: Federal Grants - Appeals and Compliance Reviews

RDA: 2005129

Description:

These records ~~are used to~~ document the appeals made to the federal regulatory agency concerning actions against state plans and the compliance reviews that occur during the life of the state plan. The **records files** may include, but **are is** not limited to: **c**Complaints; **i**nvestigation reports; **d**Documentation of informal meetings to resolve differences; **h**earing and **a**Appeal documentation; **p**lan**s for of** corrective action; **c**Compliance reviews; **d**Documentation of debarment and/or suspension; **associated documentation, and** ~~r~~Related correspondence.

Authorized Retention:

Retain ~~these records~~ for ~~a period of five (5)~~ **three (3)** federal fiscal years from the date of final action. When the federal granting agency requires a longer retention period, report this to the Records Management Program and these exceptions shall be placed onto the "agency specific records retention and disposition schedule" for **said your** agency.

Recommended Disposition:

Permanent: Transfer to State Archives

NSLAPR staff recommendation:

The retention period meets administrative, archival, and legal values.

Agency review:

The appraisal is supported by the Grants Office Records Officer.

Justification for Modification of RDA 2005129:

Staff recommends the changes to the description and authorized retention to bring the records series in line with current schedule verbiage parameters to ensure a more concise and accurate retention. In

addition, staff recommends changing the authorized retention from five federal fiscal years to three federal fiscal years in order to comply with 2 CFR §200 Uniform Guidance related to grants.

D. Title: Grants: Federal Grants - State Plan

RDA: 2005128

Description:

These records ~~are used to~~ document state plans required by various laws and regulations. The ~~records files~~ may include, but are not limited to: ~~p~~Plan narrative~~s~~ including amendments,; ~~i~~Identification~~s~~ of the sole state agency,; ~~s~~Statewide program objectives,; ~~r~~Resource allocation plan~~s~~,; ~~s~~State assurances,; ~~a~~Area plans,; ~~s~~State and federal certifications,; ~~f~~Funding formulas,; ~~e~~Evaluations,; ~~associated documentation, and r~~Related correspondence.

Authorized Retention:

Retain ~~these records~~ for ~~a period of of five (5)~~ ~~three (3)~~ federal fiscal years from the date the plan was accepted or superseded. When the federal granting agency requires a longer retention period, report this to the Records Management Program and these exceptions shall be placed onto the "agency specific records retention and disposition schedule" for ~~said your~~ agency.

Recommended Disposition:

Permanent: Transfer to State Archives

NSLAPR staff recommendation:

The retention period meets administrative, archival, and legal values.

Agency review:

The appraisal is supported by the Grants Office Records Officer.

Justification for Modification of RDA 2005128:

Staff recommends the changes to the description and authorized retention to bring the records series in line with current schedule verbiage parameters to ensure a more concise and accurate retention. In addition, staff recommends changing the authorized retention from five federal fiscal years to three federal fiscal years in order to comply with 2 CFR §200 Uniform Guidance related to grants.

E. Title: Grants: Private Grants

RDA: 2005130

Description:

These records document the management of grants received from private sources. The ~~records files~~ may include, but are not limited to: ~~g~~Grant application documents,; ~~f~~Financial reports with supportive documentation,; ~~a~~Audit records with supportive documentation,; ~~associated documentation, and r~~Related correspondence.

Authorized Retention:

Retain ~~these records~~ for ~~a period of~~ three (3) fiscal years from the date of the annual or final financial status report. When the granting entity requires a longer retention period, report this to the Records Management Program and these exceptions shall be placed onto the "agency specific records retention and disposition schedule" for ~~said your~~ agency.

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Grants Office Records Officer.

Justification for Modification of RDA 2005130:

Staff recommends the changes to the description and authorized retention to bring the records series in line with current schedule verbiage parameters to ensure a more concise and accurate retention.

Discussion and Vote:

Chair Perondi noted a type in the description of Item 1A. In the first sentence, it should read “were denied” instead of “was denied”. Maureen Martinez asked staff if there is a legal difference between the definitions of “file” and “record”. Heather explained that records is a broader term and in line with records management best practices. Ian noted that “Record” is defined in NRS 239.005(6). The proposals in Attachment E were approved as amended. The motion was made by Ian Carr and the second was by Maureen Martinez. JoVon Sotak abstained as she assisted the Grant Office with the research. The vote was unanimous with the remaining members present.

8: Attachment F 2021 Legislative Session Update

Discussion:

Heather called special attention to AB253 as it pertains to Open Meeting Law. If passed it would allow for use of remote technologies. Heather noted that using TEAMS for Committee meetings could pose issues with meeting records disposition requirements. There were no other comments or discussion from members. Chair Perondi asked members to review AB253 and other bills listed on attachment F.

9: Discuss Future Agenda Items

Discussion:

The Committee discussed future agenda items to be brought before the Records Committee in a future meeting: Secretary of State: In addition to the Governor’s Office as listed on the agenda, Heather noted that Agriculture, Plant Industry, Health and Human Services, Records and Archives, and additional Grant record series on the General Schedule are also almost ready to be placed on an agenda. JoVon Sotak mentioned that this will be her last time as a member of the Committee as Mike Strom will start as Administrator for the State Library, Archives and Public Records on Monday, May 17, 2021.

10: Determine Time of Next Meeting

The next meeting will be held July 14, 2021 at 1:15 pm in the Nevada State Library and Archives Board Room.

11: Public Comment

There was no comment from the public made by mail, email, or telephone leading up to or during the meeting.

12: Adjourn

The meeting was adjourned at 1:48 pm by the Chair, Kim Perondi.